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Attorney's Docket No: 42P17910

Patent

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application of:	)		
Ansheng Liu et al.	)	Examiner:	Not Yet Assigned
No.: Not Yet Assigned	)	Art Unit:	Not Yet Assigned
Date: Concurrently herewith	)		
METHOD AND APPARATUS FOR DUAL TAPERING AN OPTICAL WAVEGUIDE	) ) <u>)</u>		
	Ansheng Liu et al.  No.: Not Yet Assigned  Date: Concurrently herewith  METHOD AND APPARATUS FOR DUAL	Ansheng Liu et al.  No.: Not Yet Assigned  Date: Concurrently herewith  METHOD AND APPARATUS FOR DUAL )	Ansheng Liu et al.  No.: Not Yet Assigned  Date: Concurrently herewith  METHOD AND APPARATUS FOR DUAL  Description:  METHOD AND APPARATUS FOR DUAL  Description:  Descript

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## INFORMATION DISCLOSURE STATEMENT

Sir/Madam:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents listed on thereon. It is respectfully requested that the listed documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

<u>X</u>	37 C.I	F.R. §1.97(b).					
	37 C.F.R. §1.97(c). If so, then enclosed with this Information Discrete Statement is one of the following:						
	A cer	tification pursuant to 37 C.F.R. §1.97(e) or					
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	(1)	A certification pursuant to 37 C.F.R. §1.97(e);					
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If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

12400 Wilshire Blvd. Seventh Floor Los Angeles, CA 90025-1026

(206) 292-8600

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Substitute for Form 1449/PTO				Complete if Known					
INFORMATION DISCLOSURE			CLOSURE	Application Number	New Application				
		Filing Date	Concurrently herewith						
SIA			PLICANT	First Named Inventor:	Ansheng Liu et al.				
(use as many sheets as necessary)		Art Unit	Not Yet Assigned						
				Examiner Name	Not Yet Assigned				
Sheet	1	of 1 Attorney Docket Number 42P17910							
			NON PATENT LI	TERATURE DOCUMENTS					
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published							
	1.	MOERMAN, I., et al., "A Review on Fabrication Technologies for the Monolithic Integration of Tapers with III-V Semiconductor Devices," <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , Vol. 3, No. 6, (December 1997) pp.1308-1320							
	1								
Examiner				I	Date				

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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